



Department of the Interior
U.S. Fish and Wildlife Service

Expires June 30, 2007
OMB No. 1018-0093

Federal Fish and Wildlife Permit Application Form

Return to: Division of Management Authority (DMA)

Type of Activity:

4401 N. Fairfax Drive, Room 700
Arlington, VA 22203
1-800-358-2104 or 703-358-2104

Export of Artificially Propagated Plants (Multiple Commercial Shipments)

If renewal; permit no.

Complete sections A OR B and C and D of this application. Note: if a field is "gray", no answer is required. Application will not be considered complete without all sections. See additional instructions on attached pages.

A. Complete if applying as an individual (Provide a U.S. address)					
1.a. Last name		1.b. First name		1.c. Middle name or initial	1.d. Suffix
2.a. Street address (line 1)		2.b. Street address (line 2)		2.c. Street address (line 3)	
3.a. City		3.b. Province	3.c. State	3.d. Zip code/Postal code:	3.e. Country
4. Date of birth (mm/dd/yyyy)	5. Social Security No.		6. Occupation		7.a. Home telephone number
7.b. Work telephone number		7.c. Fax number		8. E-mail address	
				9. County	
10. List any business, agency, organizational, or institutional affiliation associated with the wildlife or plants to be covered by this permit (see C.1.)				11. Doing business as (dba)	

B. Complete if applying as a business, corporation, public agency or institution					
1.a. Name of business, agency, or institution			1.b. Doing business as (dba)		
2.a. Street address (line 1)		2.b. Street address (line 2)		2.c. Street address (line 3)	
3.a. City		3.b. Province	3.c. State	3.d. Zip code	3.e. Country
4. Tax identification no.		5. Describe the type of business, agency, or institution and provide state of incorporation			
6.a. Principal officer (President, director, etc) Last name		6.b. First name		6.c. Middle name or initial	6.d. Suffix
7. Principal officer title:				8. Home telephone number	
9. Work telephone number		10. Fax number		11. E-mail address	
				12. County	

C. All applicants complete	
1.	Do you currently have or have you had any Federal Fish and Wildlife permits? (For simplification, all licenses, permits, registrations, and certificates will be referred to as a permit.) Yes <input type="checkbox"/> If yes, list the number of the most current permit you have held: _____ No <input type="checkbox"/>
2.	Have you obtained all required State, Federal, or foreign government approval(s) to conduct the activity you propose? Yes <input type="checkbox"/> If yes, provide a copy of the approval(s). Have applied <input type="checkbox"/> Not required <input type="checkbox"/>
3.	Enclose check or money order payable to the U.S. FISH AND WILDLIFE SERVICE in the amount of \$200 or for renewal, \$100 [50 CFR 13.11(d)]. Institutions which qualify under 50 CFR 13.11(d)(3) may be exempt from the application processing fee.
4.	Certification: I hereby certify that I have read and am familiar with the regulations contained in Title 50, Part 13, of the Code of Federal Regulations and the other applicable parts in subchapter B of Chapter I of Title 50, and I certify that the information submitted in this application for a permit is complete and accurate to the best of my knowledge and belief. I understand that any false statement herein may subject me to the criminal penalties of 18 U.S.C. 1001.
5.	Signature (in blue ink) of applicant/person responsible for permit in Section A. or B. (Photocopied signatures are not accepted.)
6.	Date (mm/dd/yyyy):

D. EXPORT OF ARTIFICIALLY PROPAGATED PLANTS (Multiple Commercial Shipments)

NOTE: The information in the application will allow us to determine whether your specimens meet the definition of artificially propagated as defined in CITES Conference Resolution 11.11. Upon approval, this application will be used to create a master file which will allow the export of approved artificially propagated species/hybrids/cultivars under CITES. The master file is valid for three years and is renewable.

For **Renewal**, due to procedural changes, you must complete the entire application. However, if you have submitted this information to our office recently, please contact us to evaluate if you need to complete all questions or just Part IV.

The questions in Parts I-III correspond to the sample table in Part V, which you may also submit as a spreadsheet. Use of this table may help in processing your application. You may provide the inventory on a disk or check here ____ for us to contact you by e-mail.

Part I. Plants to be Exported. Provide the following information for each species, hybrid or cultivar to be exported. Please list your species by Appendix (I, II, or III), and sort the native species separately from the non-natives.

1. Scientific name (genus, species, and if applicable, subspecies) and common name, if available. If it is a hybrid (a cross between two or more different species or genera) or cultivar, provide the scientific names of the parental stock.¹
2. General description of the specimens (e.g., whole plants, parts, etc.) and size (e.g. pot size and plant size) you wish to export.
3. Approximate number of specimens to be exported each year;
4. Do you propagate the specimens to be exported at your facility?
 - a. If yes, describe the methods of propagation (e.g., seed, cutting, mericlone, etc.).
 - b. If no, (i.e., you purchased the specimens), provide the following information. Note: If from more than one source, provide information for each source.
 - i. Complete name, address and phone number of the supplier;
 - ii. Copies of receipts or other documentation that shows the approximate date(s) of purchase and a description of the specimens to be exported, including type (e.g., whole plants, parts, etc.) and size (pot size AND plant size) of each.
 - iii. method of propagation.

Part II. Parental Stock. For each species, cultivar, or hybrid, identify the specific source(s) of the parental stock, whether maintained by you or purchased elsewhere by answering the following questions. *If you are not the propagator (i.e., you do not maintain parental stock) of the plants to be exported, please provide the information requested below from the actual propagator.* If specimens are from more than one source, provide information for each source.

Parental stock = the stock from which the plants to be exported were propagated.

5. How many parental stock plants are maintained for each species, hybrid, or cultivar applied for in this application?
6. How many plants of each species, hybrid, or cultivar are anticipated to be produced annually from these parental stock plants?
7. How long has each of these species, hybrid, or cultivar been propagated?
8. If the parental stock did not originate from the United States, provide documentation showing its legal import (cancelled CITES export permit or re-export certificate).
9. If the parental stock was **acquired from another nursery or individual**:
 - a. Complete name and address of the supplier and receipts if you have them;
 - b. Date(s) or approximate date(s) on which you obtained the parental stock;
 - c. Nature of the stock (i.e., seeds, whole plants, cuttings, etc.); and
 - d. Whether the stock was artificially propagated or removed from the wild (provide a signed statement from the supplier identifying the source).
10. If the parental stock was **removed from the wild in the U.S.**, provide for each removal:
 - a. Number of specimens collected;
 - b. Description of what type of specimens were collected (e.g., seeds, whole plants, cuttings, etc.);
 - c. Specific location, and date of collection for each specimen;
 - d. Who (name and address) collected the specimens;
 - e. Copies of documents to show the plants were legally collected (e.g., State permits or licenses, landowner's written permission, etc.) (be sure to correlate each document to the corresponding plant);
 - f. Approximate density (such as number of plants per acre) and distribution of the species;
 - g. Collection methodology (i.e., whether the specimens were removed from one clump in an area of several clumps or from more than one clump or patch at a specific location); and
 - h. Ratio of how many collected to how many remain.
 - i. If you purchased the plants/seeds, provide the invoice or other document that shows the name, address and telephone number of the person from whom you purchased the plants and the date of purchase for each specimen. (Show a complete history of transactions back to the original collection.)
 - j. If you supplement your stock with specimens that are taken from the wild, how often do you supplement?

Part III. Appendix I or native U.S. species. We require information on the source of the plants that established the line of propagation. We are referring to this source as the **founder stock**.

11. Provide the following information on the **founder stock** of the plants you want to export (Note: This information may be also requested for some Appendix II species. If so, we will contact you.)
 - a. If the founder stock did not originate from the United States, if available, provide documentation showing its legal import (cancelled CITES export permit or re-export certificate).
 - b. If your founder stock was acquired from another nursery or individual, indicate:
 - i. Complete name and address of the supplier and receipts if you have them;
 - ii. Date(s) or approximate date(s) on which you obtained the parental stock;
 - iii. Nature of the stock (i.e., seeds, whole plants, cuttings, etc.); and
 - iv. Whether the stock was artificially propagated or removed from the wild (if possible provide a signed statement from the supplier identifying the source).

Part IV.

12. Please provide (a) a complete description of the conditions under which your plants are grown and (b) photographs that clearly depict the plants, facilities, and conditions under which your plants are grown.
13. Provide a copy of your State nursery license, current electronic catalog, and U. S. Department of Agriculture protected plant permit (formerly known as general permit).

14. Describe the type of shipping containers and the arrangements for care during shipping.
15. How many single-use permits would you like to have issued upon completion of this master file review? _____
(Provide \$5 for each 6-month permit.) Additional permits may be requested through form [3-200-74](#).

16. **For Reissuance/Renewal with no changes to the master file, certify the following.**

I certify that the information submitted in support of my original application for a master file (no. _____) is still currently correct and hereby request reissuance or renewal of that file.

Permittee's signature: _____ Date: _____

17. Address where you wish [documents](#) mailed (if different than page 1):
_____.
18. If you wish the documents to be mailed other than by regular mail, provide air bill, pre-paid envelope, or billing information _____.
19. Who should we contact if we have questions about the application? (Include name, phone number, and email):
_____.

Part V. Inventory Page ([Link to spreadsheet file](#)) *This table provides an example of a way to provide the information requested in Parts I - III.*

Scientific name and common name (List by Appendix, and whether Native to U.S. or non-native)	Description	No. of Plants to be exported each year	Maintain parental stock?	propagation method	If no, purchased from?	Form? (seeds, cuttings, seedlings)	No. parental plants	No. plants produced annually	No. of years propagation	Parental stock source						Appendix I or Native: Founder stock source (if required)									
										8	9	9	9	9	10	10	11	11	11	11	11	11			
1	2	3	4	4	4	4	5	6	7																
															Source					Source					
											CITES Permit no.	Supplier name & complete address	Date obtained	Nature of stock	Art Prop	Wild (Provide data on separate sheet.)	Supplement from Wild?		CITES Permit no.	Supplier name & complete address	Date obtained	Nature of stock	Art Prop	Wild (Provide data on separate sheet.)	Supplement from Wild?
Example: Paphiopedilum argus	3" whole; 6" pots	300	Yes	cutting	Elderberry Farms	seedlings	20	300	12	ES010427	Blue's Nursery	5/16/94	cutting	Yes				ES010427	Oregon Orchids	1987	cutting	Yes	N/A	N/A	
Native																									
Non-native																									
Appendix I																									
Appendix II																									

PERMIT APPLICATION FORM INSTRUCTIONS

The following instructions pertain to the standard permit form 3-200 that must be completed as an application for a U.S. Fish and Wildlife Service or CITES permit. The General Permit Procedures in 50 CFR 13 address the permitting process. For simplification, all licenses, permits, registrations, and certificates will be referred to as a permit.

- Complete all appropriate blocks/lines/questions in Sections A OR B, and C and D. **Print clearly or type in the information.** An incomplete application may cause delays in processing or may be returned to the applicant. Note: if a field is "grayed in", no answer is required.
- Sign the application in blue ink and send the original to the address at the top of the application. Faxes or copies of the original signature will not be accepted.
- Please plan ahead. Allow at least 60 days for your application to be processed (50 CFR 13.11). However, some applications may take longer than 90 days to process. Applications are processed in the order they are received.
- Additional forms and instructions are available from <http://permits.fws.gov/>.

Most of the application form is self-explanatory, but the following provides some assistance for completing the form.

COMPLETE EITHER SECTION A OR SECTION B:

- Section A. **"Complete if applying as an individual"** - Enter the complete name of the responsible individual who will be the permittee if a permit is issued. Enter personal information that identifies the applicant. All blocks must be completed. **If you are applying on behalf of a client, the personal information must pertain to the client; and a document evidencing power of attorney must be included with the application.**
- Section B. **"Complete if applying as a business, corporation, public agency, or institution"** - Enter the complete name and address of the business, agency or institution that will be the permittee if a permit is issued. Give a brief description of the type of business the applicant is engaged in, the name and phone number of the person in charge (i.e., principal officer), and if the company is incorporated, the State in which it is incorporated.

ALL APPLICANTS COMPLETE SECTION C:

- Section C.1 **"Do you currently have or have you had any Federal Fish and Wildlife permits?"** List the number(s) of your most current FWS or CITES permit or the number of the most recent permit if none are currently valid. If applying for a renewal of a CITES permit, the original permit must be returned with this application.
- Section C.2 **"Have you obtained all required State, Federal or foreign government approval to conduct the activity you propose?"** (Please be aware that there may be other requirements necessary to conduct this activity such as a hunting license, import permit, or collection permit.) If "yes," list the state, Federal or foreign countries involved and type of document required. Include a copy of these documents with the application. If you have applied for the documents, check the "have applied" box and list the state, Federal or foreign countries involved and type of documents required. If the proposed activity is not regulated check "not required."
- Section C.3 **"Check or money order (if applicable)"** There is an application processing fee unless you are applying as a Federal, State or tribal government agency or you are an individual or institution under contract to such agency for the proposed activities. (See 50 CFR 13.11(d)(3) for fee schedule.) Proof of status as a Federal, State or tribal government agency or contractor to such agency should accompany your application. The application processing fee is assessed to partially cover the cost of processing a request. The fee does not guarantee the issuance of a permit. It will not be refunded regardless of whether a permit is issued, abandoned, or denied. See the accompanying section APPLICATION PROCESSING FEE for the fee to process this application. Make your check or money order payable to the "U.S. Fish and Wildlife Service" and attach it to the application form.
- Section C.4 **"CERTIFICATION"** The individual identified in Section A, the principal officer named in Section B, or person with a valid power of attorney (documentation must be included in the application) must sign and date the application in blue ink. This signature binds the applicant to the statement of certification. This means that you certify that you have read and understand the regulations that apply to the permit. You also certify that everything included in the application is true to the best of your knowledge. Be sure to read the statement and re-read the application and your answers before signing.

ALL APPLICANTS COMPLETE SECTION D:

Provide any required additional information outlined in Section D. of the application form. Be as complete and descriptive as possible. If there is any doubt as to the information's relevance, include it with the application. Please do not send videotapes or DVDs.

APPLICATION FOR A FEDERAL FISH AND WILDLIFE PERMIT

Paperwork Reduction Act and the Privacy Act – Notices

In accordance with the Paperwork Reduction Act of 1995 (44 U.S.C. 3501, *et seq.*) and the Privacy Act of 1974 (5 U.S.C. 552a), please be advised that:

1. The gathering of information on fish and wildlife is authorized by:
 - a. Bald and Golden Eagle Protection Act (16 U.S.C. 668), [Title 50 Part 22 of the Code of Federal Regulations \(CFR\)](#);
 - b. Endangered Species Act of 1973 (16 U.S.C. 1531-1544), [Title 50 CFR Part 17](#);
 - c. Migratory Bird Treaty Act (16 U.S.C. 703-712), [Title 50 CFR Part 21](#);
 - d. Marine Mammal Protection Act of 1972 (16 U.S.C. 1361, *et seq.*), [Title 50 CFR Part 18](#);
 - e. Wild Bird Conservation Act (16 U.S.C. 4901-4916), [Title 50 CFR Part 15](#);
 - f. Lacey Act (18 U.S.C. 42); Injurious Wildlife, [Title 50 CFR Part 16](#);
 - g. [Convention on International Trade in Endangered Species of Wild Fauna and Flora \(TIAS 8249\)](#); [Title 50 CFR Part 23](#).
 - h. General Provisions, [Title 50 CFR Part 10](#);
 - i. General Permit Procedures, [Title 50 CFR Part 13](#); and
 - j. Wildlife (Import/export/transport), [Title 50 CFR Part 14](#).
2. Information requested in this form is purely voluntary. However, submission of requested information is required in order to process applications for permits authorized under the above laws. Failure to provide all requested information may be sufficient cause for the U.S. Fish and Wildlife Service to deny the request. Response is not required unless a currently valid Office of Management and Budget (OMB) control number is displayed.
3. Certain applications for permits authorized under the Endangered Species Act of 1973 (16 U.S.C. 1539) and the Marine Mammal Protection Act of 1972 (16 U.S.C. 1374) will be published in the **Federal Register** as required by the two laws.
4. Routine use disclosures outside the Department of the Interior may be made without the consent of an individual if the disclosure is compatible with the purposes for which the record was collected. (Ref. 68 FR 52611, September 4, 2003) Disclosures outside the DOI may be made under the routine uses listed below without the consent of the individual if the disclosure is compatible with the purposes for which the record was collected.
 - a. To subject matter experts, and State, Federal, local, and foreign agencies, for the purpose of obtaining advice relevant to making a decision on an application for a permit or when necessary to accomplish a FWS function related to this system of records.
 - b. To the public as a result of publishing Federal Register notices announcing the receipt of permit applications for public comment or notice of the decision on a permit application.
 - c. To Federal, State, local, or foreign wildlife and plant agencies for the exchange of information on permits granted or denied to assure compliance with all applicable permitting requirements.
 - d. To Captive-bred Wildlife registrants under the Endangered Species Act for the exchange of authorized species, and to share information on the captive breeding of these species.
 - e. To Federal, State, and local authorities who need to know who is permitted to receive and rehabilitate sick, orphaned, and injured birds under the Migratory Bird Treaty Act and the Bald and Golden Eagle Protection Act; federally permitted rehabilitators; individuals seeking a permitted rehabilitator with whom to place a sick, injured, or orphaned bird in need of care; and licensed veterinarians who receive, treat, or diagnose sick, orphaned, and injured birds.
 - f. To the Department of Justice (DOJ), or a court, adjudicative, or other administrative body or to a party in litigation before a court or adjudicative or administrative body, under certain circumstances;
 - g. To the appropriate Federal, State, tribal, local, or foreign governmental agency responsible for investigating, prosecuting, enforcing, or implementing statutes, rules, or licenses, when we become aware of a violation or potential violation of such statutes, rules, or licenses, or when we need to monitor activities associated with a permit or regulated use.
 - h. To a congressional office in response to an inquiry to the office by the individual to whom the record pertains.
 - i. To the General Accounting Office or Congress when the information is required for the evaluation of the permit programs.
 - j. To provide addresses obtained from the Internal Revenue Service to debt collection agencies for purposes of locating a debtor to collect or compromise a Federal claim against the debtor, or to consumer reporting agencies to prepare a commercial credit report for use by the FWS.
5. For individuals, personal information such as home address and telephone number, financial data, and personal identifiers (social security number, birth date, etc.) will be removed prior to any release of the application.
6. The public reporting burden on the applicant for this information collection varies depending on the activity for which a permit is requested. The relevant burden for this permit application is **120 minutes**. This burden estimate includes time for reviewing instructions, gathering and maintaining data and completing and reviewing the form. You may direct comments regarding the burden estimate or any other aspect of the form to the Service Information Clearance Officer, U.S. Fish and Wildlife Service, Mail Stop 222, Arlington Square, U.S. Department of the Interior, 1849 C Street, NW, Washington D.C. 20240.

Freedom of Information Act – Notice

For organizations, businesses, or individuals operating as a business (i.e., permittees not covered by the Privacy Act), we request that you identify any information that should be considered privileged and confidential business information to allow the Service to meet its responsibilities under FOIA. Confidential business information must be clearly marked "Business Confidential" at the top of the letter or page and each succeeding page and must be accompanied by a non-confidential summary of the confidential information. The non-confidential summary and remaining documents may be made available to the public under FOIA [43 CFR 2.13(c)(4), 43 CFR 2.15(d)(1)(i)].

Application Processing Fee

The fee to process this application is \$200. Checks should be made payable to "U.S. Fish and Wildlife Service." Fees for renewals and amendments may vary; see fee schedule at 50 CFR 13.11(d)(4)]. The processing fee will not be refunded regardless of whether a permit is issued, abandoned, or denied. The fee schedule does not apply to any Federal, State, or tribal government agency or individual or institution under contract to such agency for the proposed activities.